

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
00016-00

In Re Application Of: **Ram B. Gupta, Hargurpreet Singh, Russell C. Cappadona**

Serial No.  
10/039,933

Filing Date  
November 9, 2001

Examiner  
Not Yet Known

Group Art Unit  
Not Yet Known

Title: **Phenyl Ether Substituted Hydroxyphenyl Triazine Ultraviolet Light Absorbers**

Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

☐ the fee set forth in 37 CFR 1.17(p).

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Not Yet Known

**Phenyl Ether Substituted Hydroxyphenyl Triazine Ultraviolet Light Absorbers**

APR 16 2002

RECEIVED  
APR 18 2002  
TC 1700

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 03-4083 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.

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I certify that this document and fee is being deposited on \_\_\_\_\_ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

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Typed or Printed Name of Person Mailing Certificate

\*This certificate may only be used if paying by deposit account.

*James A. Jubinsky*  
Signature

James A. Jubinsky  
Registration No. 42,700

Dated: *April 17, 2002*

Cytec Industries Inc.  
Patent Law Department  
1937 W. Main St. / P.O. Box 60  
Stamford, CT 06904-0060  
Tel: (203) 321-2925 Fax: (203) 321-2971

cc:

# INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

APR 16 2002

U.S. PATENT & TRADEMARK OFFICE

ATTY DOCKET NO.

00016-00

SERIAL NO.

10/039,933

APPLICANT(S)

Ram Gupta, Hargurpreet Singh, Russell Cappadona

FILING DATE

November 9, 2001

GROUP

Not Yet Known

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	3,118,887	Jan 21 1964	Hardy et al.	260	248	Mar 6 1961
	AB	3,244,708	Apr 5 1996	Duennenberger et al.	260	248	Feb 6 1964
	AC	3,423,360	Jan 21 1969	Huber et al.	260	47	Nov 22 1965
	AD	3,843,371	Oct 22 1974	Piller et al.	96	84 R	Mar 14 1973
	AE	3,896,125	Jul 22 1975	Helmo et al.	260	249.5	Jan 21 1964
	AF	4,161,592	Jul 17 1979	Evans et al.	544	198	Jul 1 1977
	AG	4,314,933	Feb 9 1982	Berner	260	45.75 N	Feb 4 1980
	AH	4,344,876	Aug 17 '82	Berner	524	91	Nov 28 1980
	AI	4,426,471	Jan 17 1984	Berner	524	91	Jun 25 1982
	AJ	4,426,472	Jan 17 1984	Berner	524	99	May 6 1982
	AK	4,619,956	Oct 28 1986	Susi	524	87	May 3 1985

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AL	EP 0395938 B1	Jan 17 1996	Europe				✓
	AM	EP 0 434608 B1	Apr 2 1997	Europe				✓
	AN	EP 0444323 B1	Mar 19 '97	Europe				✓
	AO	EP 0577559 A2	Jun 24 1993	Europe				✓
	AP	EP 0649841 B1	May 16 '01	Europe				✓

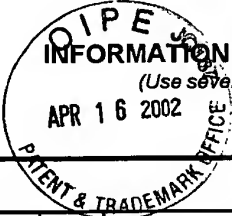
## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	AQ	H. Brunetti and C. E. Lüthi, "Die Synthese von asymmetrischsubstituierten o-Hydroxyphenyl-s-triazinen," Helvetica Chimica Acta - Vol. 55 (1972), pp. 1566-1595
	AR	Shigeo Tanimoto and Masato Yamagata, "Synthesis of Ultraviolet Absorber Having 2-(2-Hydroxyphenyl)-1,3,5-Triazine Structure as a Functional Moiety," Vol. 40, No. 12, (1995), pp. 339ff

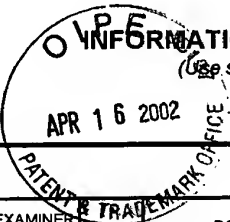
EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

 <b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				ATTY DOCKET NO. <b>00016-00</b>		SERIAL NO. <b>10/039,933</b>		
				APPLICANT(S) <b>Ram Gupta, Hargurpreet Singh, Russell Cappadona</b>				
				FILING DATE <b>November 9, 2001</b>		GROUP <b>Not Yet Known</b>		
<b>U.S. PATENT DOCUMENTS</b>								
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	AA	4,740,542	Apr 26	Susi	524	87	Aug 11 1986	
	AB	4,775,707	Oct 4 1988	Slongo et al.	524	91	Jun 22 1987	
	AC	4,826,978	May 2 1989	Migdal et al.	544	216	Dec 29 1987	
	AD	4,948,666	Aug 14 '90	Paul et al.	428	334	Apr 22 1988	
	AE	4,962,142	Oct 9 1990	Migdal et al.	524	100	Nov 14 1988	
	AF	5,004,770	Apr 2 1991	Cortolano et al.	524	99	Oct 3 1989	
	AG	5,006,577	Apr 9 1991	Behrens et al.	524	95	Oct 19 1988	
	AH	5,030,731	Jul 9 1991	Slongo et al.	548	260	Oct 24 1989	
	AI	5,064,883	Nov 12 1991	Behrens et al.	524	95	Oct 19 1988	
	AJ	5,106,891	Apr 21 '92	Valet	524	91	Mar 22 1991	
	AK	5,106,972	Apr 21 '92	Burdeska et al.	544	219	Aug 5 1991	
<b>FOREIGN PATENT DOCUMENTS</b>								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AL	EP 0704437 A2	Apr 3 1996	Europe				✓
	AM	EP 0704437 A3	Oct 23 1996	Europe				✓
	AN	EP 0779280 A1	Jun 18 1997	Europe				✓
	AO	WO 00/29392	May 25 '00	PCT				✓
	AP	WO 96/28431	Sep 19 1996	PCT				✓
<b>OTHER DOCUMENTS</b> <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>								
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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	AA	5,112,890	May 12 '92	Behrens et al.	524	95	Oct 19 1988	
	AB	5,124,378	Jun 23 1992	Behrens et al.	524	95	Oct 19 1988	
	AC	5,189,084	Feb 23 1993	Birbaum et al.	524	100	Feb 26 1992	
	AD	5,198,498	Mar 30 '93	Valet et al.	525	125	Jan 9 1992	
	AE	5,204,473	Apr 20 '93	Winter et al.	546	188	May 12 1992	
	AF	5,288,868	Feb 22 1994	Reinehr et al.	544	219	Feb 8 1993	
	AG	5,298,067	Mar 29 '94	Valet et al.	106	506	Feb 13 1992	
	AH	5,322,868	Jun 21 1994	Valet et al.	524	89	Feb 28 1992	
	AI	5,354,794	Oct 11 1994	Stevenson et al.	524	100	Feb 1 1994	
	AJ	5,356,995	Oct 18 1994	Valet et al.	525	100	Dec 16 1992	
	AK	5,369,140	Nov 29 1994	Valet et al.	522	75	May 3 1991	
<b>FOREIGN PATENT DOCUMENTS</b>								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AL	JP 09059263A	Mar 4 1997	Japan			✓	
	AM	GB 2293823 A	Apr 10 '96	Great Britain				✓
	AN	GB 884,802	Dec 20 1961	Great Britain				✓
	AO	WO 99/67226	Dec 29 1999	PCT				✓
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>								
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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	AA	5,376,710	Dec 27 1994	Slongo et al.	524	87	Mar 10 1993	
	AB	5,420,204	May 30 '95	Valet et al.	525	125	Mar 11 1994	
	AC	5,438,138	Aug 1 1995	Henneberger et al.	544	217	Jun 28 1993	
	AD	5,461,151	Oct 24 1995	Waterman	544	216	Feb 18 1994	
	AE	5,476,937	Dec 19 1995	Stevenson et al.	544	216	Jun 28 1994	
	AF	5,478,935	Dec 26 1995	Reinehr et al.	544	180	Oct 12 1994	
	AG	5,563,224	Oct 8 1996	Szita et al.	525	480	May 23 1995	
	AH	5,585,422	Dec 17 1996	Falk et al.	524	100	Sep 20 1995	
	AI	5,597,854	Jan 28 1997	Birbaum et al.	524	100	Nov 9 1995	
	AJ	5,637,706	Jun 10 1997	Stevenson et al.	544	216	Jun 2 1995	
	AK	5,726,309	Mar 10 '98	Stevenson et al.	544	216	Aug 27 1996	
<b>FOREIGN PATENT DOCUMENTS</b>								
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							YES	NO
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